

## INSTRUCTIONS for Housing Rehabilitation

### **INSTRUCTIONS FOR COMPLETING ACTIVITY FORMS**

**Note:** If more than one program activity is being proposed, submit a separate set of Activity Forms for each program.

#### **A. ACTIVITY INFORMATION:**

1. Indicate the total dollar amount that is being requested for this specific activity. This dollar amount must include any activity delivery costs.
2. From the list of possible housing rehabilitation programs, identify the type of program that is being proposed.

Specify if the program is proposed jurisdiction-wide or in a target area. Depending on local indicators and census data, applicants may strengthen their application by proposing the activity in a target area that has high poverty indicators. If proposing a program in a target area, the applicant will be held to performing in that area. If the applicant checked target area, please read the following two paragraphs:

Scoring for need. If the applicant is proposing housing rehabilitation in a target area, exterior housing condition survey data may be used to show the percentage of units in need of rehabilitation or dilapidated in place of the community-wide data stated in the jurisdiction's housing element. **The survey must be completed using the survey form contained in Chapter 16 of the CDBG Grant Management Manual. The survey data must be more recent than the data in the housing element and if the survey is jurisdiction-wide, the data must be amended into the housing element.** Note: proposed multi-family housing projects must show the rehabilitation need or units in the project.

Census data. Applicants must also use Census data showing the age of housing stock and overcrowding for the jurisdiction or target area(s). **For target areas, a map must be provided showing the exact census tract and or block groups being served. Each target area will require a separate set of census tables with the proper data.** Note: proposed multi-family housing projects must use jurisdiction-wide data.

3. If the proposed program will be carried out in a target area, identify the census tracts and applicable block groups for the proposed target area.
4. Under each column, identify the proposed number of beneficiaries for each specific income group.  
(Refer to Appendix B for a link to the list of income limits by county.)

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Non-TIG (Non-Targeted Income Group) refers to households that earn 81% and above of the county median income.

TIG (Targeted Income Group) refers to households that earn between 51% and 80% of the county median income.

LTIG (Lowest Targeted Income Group) refers to households that earn between 31% and 50% of the county median income.

Note: Proposed activities may not exclude benefit to the LTIG.

Extremely LTIG (Extremely Lowest Targeted Income Group) refers to households that earn 30% or less of the county median income.

Note: Proposed activities may not exclude benefit to the LTIG.

5. Indicate the proposed number of loans and the proposed number of grants for this activity.
6. Indicate who will carry out this activity.
7. Provide a brief narrative description of the proposed program. The narrative should include either jurisdiction-wide or target area program or multi-family project-specific information on the number of units to be rehabilitated, how many units are owner or renter occupied, and how many families are on the applicant's interest list. Priority for rehabilitation should be based on urgent need of health and safety repairs.
8. **Environmental Clearance:** Rehabilitation programs for single family units (HUD defines single family as one to four units) occupied by owners or tenants are covered under a Rehabilitation Environmental Review (RER). One RER is required for each rehabilitation program funded by a State grant. The RER also works for reconstruction projects.

For rehabilitation of multi-family projects of four units or more, a *Statutory Worksheet* must be completed and all appropriate "oversight" agencies must be consulted. All documentation to evidence compliance with the proper NEPA process **must** be provided. If all items on the *Statutory Worksheet* are in primary compliance, the project will convert to exempt. If it does not convert to exempt, the proper publications must be made. If the scope of the project extends outside of the existing footprint and expands the size or capacity of the project by more than 20%, an environmental assessment must be completed.

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### B. NEED FOR ACTIVITY:

1. Choose either Target Area or Jurisdiction-wide housing conditions and complete the chart.

For applicants with a jurisdiction-wide housing rehabilitation program, or a target area program where current survey data are not available, complete this section and attach two copies of the Housing Element page showing this information.

For grantees proposing a target area rehabilitation program and are using the survey form contained in the CDBG Grant Management Manual, complete this section. Surveys will only be accepted for target areas, jurisdiction-wide data must be amended into the current housing element.

Sound Units. List the percentage of sound units. The percent entered must be from the most current adopted Housing Element submitted to the Department's Housing Policy Development Division. If the applicant does not have a Housing Element in compliance, contact a CDBG field representative for guidance.

Units suitable for rehabilitation. The percentages entered must be from the most current adopted Housing Element submitted to the Department's Housing Policy Development Division. **If data is available, break the percentage amounts down by the categories "minor," "moderate," "major" rehabilitation.** If the applicant does not have a Housing Element in compliance, contact a CDBG field representative for guidance.

Dilapidated Units. The percent entered must be from the most current adopted Housing Element submitted to the Department's Housing Policy Development Division. If the applicant does not have a Housing Element in compliance, contact a CDBG field representative for guidance.

Note: The total percentage of the target area or jurisdiction wide chart, must add up to 100%.

2. Age of Housing Stock & Overcrowding.

Age of housing stock. The applicant must use 2000 Census data for this number. Age of housing stock data is available in the 2000 Census Summary File 3, Table DP-4 (see sample in Appendices).

Overcrowding. Overcrowding means 1.01 or more persons per room. Applicants must use 2000 Census data for this number. Overcrowding data are available in the 2000 Census Summary File 3, Table DP-4 (see sample in Appendices).

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3. Supplemental Information. If the Census data for Age of Housing Stock and Overcrowding do not accurately depict the community's need in those categories, please attach third-party documentation, if available, showing the community's worsened needs in either of these two categories and indicate the page numbers where the documentation can be found. Such supplemental information shall not be older than five years from this year's application filing date and must be specific to the community.

Note: Unless it occurs within the last year, data for condition of housing stock **cannot** be supplemented since the source data are either a housing element or recent survey as noted above.

### C. TARGETED INCOME GROUP BENEFIT

Housing rehabilitation programs are direct assistance activities. Because they are direct assistance activities, all units being provided with CDBG financing must be income qualified and documented as TIG. Rehabilitation programs will always be 100% TIG.

For other types of programs, indicate how the TIG benefit was determined. If a survey was conducted, the applicant must provide a copy of the survey methodology, the survey instrument, and the survey results.

If a multi-family project is proposed, the CDBG funds can only be used to rehabilitate the units of low income/ TIG households. Common improvements like roofs and exterior painting can be pro-rated based on percentage of low income units being served. Multi-Family Projects that do not clearly show 100% TIG benefit, or do not show clearly how only TIG units will be assisted, will not receive points in this category.

#### 1. Check the appropriate box under a. or b.

- a. If the application is for a single family rehabilitation program for owner occupants that are income restricted and 100% TIG benefit, as determined by the CDBG Eligibility and Income Limits, check the yes box and skip to State Objectives section.

If the application is for a single family rehabilitation program for owner investors who will rent to tenants that are income restricted and 100% TIG benefit, as determined by the CDBG Eligibility and Income Limits, check the yes box and skip to State Objectives section.

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2. If the application is for any other type of program, answer question #2 and complete the chart (if applicable).

If a mixed income multi-family project will be limited to tenants that are TIG, check the income restricted box. If the applicant has completed a survey, check the income survey box.

- Enter the date the survey was completed, the total number of tenants in the project, number of units in the project and number of tenants that responded to the survey.
- Enter the number of tenants that are TIG and Non-TIG.
- Attach a copy of the survey form, survey methodology, and results of the survey.

Income restriction: Applicants should demonstrate that there is a limitation, based on income, for those eligible to benefit from the project. (Note: Charging a fee to non-TIG project beneficiaries does not exclude them from being considered CDBG beneficiaries.)

Income survey: Applicants should conduct a survey of existing and/or potential beneficiaries. Please refer to Appendices for guidance on survey methodology.

### D. STATE OBJECTIVES

For Housing Rehabilitation Programs, the State Objective bonus points listed below will be made available as an option for applicants. Please check those State Objectives that the applicant is committing to fulfill.

**Important Notice:** Failure to comply with any State Objective requirements may result in the applicant having to return CDBG funds.

- **Energy Efficiency Proposals:** Up to 50 points will be added for activities that commit to using the established minimum level of energy efficiency standards. Examples of energy efficiency standards include, but not limited to, installing Energy Star ceiling fans and appliances, installing non-combustible roofing materials, using engineered lumber, providing effective air sealing, etc.

(Note: Applicants that commit to fulfilling the Energy Efficiency State Objective will be required to maintain evidence that all required energy efficiency criteria was met. Such evidence may include purchase order information from contractors, maintaining detailed work write-ups that include all criteria, pictures, inspections, etc.)

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- **Native American partnership Proposals:** Up to 50 points will be awarded for activities that propose a partnership with eligible non-federally recognized tribes/areas in which, at a minimum, 51 percent of the beneficiaries are Native American tribal members. (The activity description must clearly indicate how this State Objective will be implemented.)
- **Farmworker Housing/Health Services:** Up to 25 points will be awarded to proposals which facilitate the development and/or operation of migrant or permanent farm worker housing or proposals which facilitate the provision of health services in combination with farm worker housing. To receive these points, a minimum of 90 percent of the beneficiaries of the proposed activity must be farmworkers. (The activity description must clearly indicate how this State Objective will be implemented.)
- **Capacity Building:**  
Up to 25 points will be awarded to jurisdictions that applied for CDBG funding but fell below the funding cut-off in the 2006 General Allocation competition. The activity applied for during this funding cycle does not have to be the same as the 2006 proposed activity.  
  
Up to 35 points will be awarded to applicants who applied at least two times in the last four years (2004 to 2007) in the General Allocation and who were not funded either time.

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### E. PROGRAM READINESS

Of the 150 points available for capacity, the application may be awarded up to 50 of these points for documentation of actions taken that make the proposed project or program more ready to proceed. These actions must be directly related to the activity. They may include the completion of the special conditions and environmental review requirements, securing site control, securing financing for the entire project, or anything that would enable the applicant to be ready to proceed.

Grant Administrator and/or Program Operator--Check the appropriate box(es), submit the documentation required (resumes and duty statements for staff, applicant and governing body action hiring consultant, or governing body action approving subrecipient). Write in the page number where the documentation can be found.

Environmental Clearance--Check the appropriate box, submit the documentation required and write in the page number in the application where the documentation can be found.

Special Conditions--Check the appropriate box, submit the documentation required and write in the page number in the application where the documentation can be found.

Project Readiness-- Check the appropriate box, submit the documentation required, and write in the page number in the application where the documentation can be found. A partial list of acceptable readiness items are listed Readiness Chart.

## Housing Rehabilitation

### A. ACTIVITY INFORMATION:

1. How much is being requested for this activity? \$\_\_\_\_\_ (inc. activity delivery)

2. How will the requested CDBG funds be used?

***Check only one of the following:***

\_\_\_\_ Target Area Rehabilitation Program (complete the following)

Proposed # of units: \_\_\_\_\_ owner-occupied          \_\_\_\_\_ renter-occupied

**Or**

\_\_\_\_ Jurisdiction-Wide Housing Rehabilitation Program (complete the following)

Proposed # of units: \_\_\_\_\_ owner-occupied          \_\_\_\_\_ renter-occupied

**Or**

\_\_\_\_ Multi-Family Rehabilitation Project (complete the following)

Proposed # of units: \_\_\_\_\_ owner-occupied          \_\_\_\_\_ renter-occupied

**Or**

\_\_\_\_ Conversion of building(s) to housing units (adaptive re-use) when staying within the existing footprint or building envelope (no expansion)  
(complete the following)

Proposed # of units: \_\_\_\_\_ owner-occupied          \_\_\_\_\_ renter-occupied

**\*Note: When using target areas for rehabilitation activities, rehabilitation work must be completed in all designated target areas.**



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3. For activities that will be carried out within a target area, identify the following (see *instructions*):

Census Tract	Census Tract	Census Tract	Census Tract	Census Tract
Block Groups	Block Groups	Block Groups	Block Groups	Block Groups

4. Proposed Beneficiaries by Income Group (see *instructions*):

**OWNER-OCCUPIED households -**

81% and Above (Non-TIG)	Between 51% - 80% (TIG)	Between 31% - 50% (LTIG)	Below 30% (Extremely LTIG)	TOTALS

**RENTER-OCCUPIED households -**

81% and Above (Non-TIG)	Between 51% - 80% (TIG)	Between 31% - 50% (LTIG)	Below 30% (Extremely LTIG)	TOTALS

5. Estimated number of:      \_\_\_\_\_ Loans      \_\_\_\_\_ Grants

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6. This activity will be carried out by:

☐ Jurisdiction      ☐ Consultant      ☐ Combination of jurisdiction/consultant

OR

☐ Another unit of local government      ☐ Another public agency      ☐ Non-profit

☐ For-profit      ☐ Faith-based organization      ☐ Other: \_\_\_\_\_

Name of the agency/organization: \_\_\_\_\_

7. Description of Activity (*see instructions*):

8. Environmental Clearance: (Please indicate the anticipated level of environmental clearance.)

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### B. NEED FOR ACTIVITY:

1. Complete the required information on the chart that is applicable to the program.

For <b>TARGET AREA</b> programs <i>with</i> current survey data.		
Enter the percent of housing units <u>within the target area</u> that are:	Category	List %
<b>Sound</b> and not in need of Rehabilitation	<b>Sound</b>	%
Suitable for <b>Minor</b> Rehabilitation	<b>Minor</b>	%
Suitable for <b>Moderate</b> Rehabilitation	<b>Moderate</b>	%
Suitable for <b>Major</b> Rehabilitation	<b>Major</b>	%
<b>Dilapidated.</b> Not suitable for Rehabilitation.	<b>Dilapidated</b>	%
	<b>TOTAL:</b>	<b>100%</b>
<i><b>Be sure to attach a copy of the survey form used, the survey methodology, and a summary of the survey results to this application.</b></i>		

OR

For <b>JURISDICTION-WIDE</b> programs.		
Enter the percent of housing units <u>within the jurisdiction</u> that are:	Category	List %
<b>Sound</b> and not in need of Rehabilitation	<b>Sound</b>	%
Suitable for <b>Minor</b> Rehabilitation	<b>Minor</b>	%
Suitable for <b>Moderate</b> Rehabilitation	<b>Moderate</b>	%
Suitable for <b>Major</b> Rehabilitation	<b>Major</b>	%
<b>Dilapidated.</b> Not suitable for Rehabilitation.	<b>Dilapidated</b>	%
	<b>TOTAL:</b>	<b>100%</b>
<i><b>Be sure to attach 2 copies of the page from the Housing Element where these percentages are documented.</b></i>		

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- 2. Age of Housing Stock & Overcrowding.** Provide the requested information for each category.

Enter the percentage of housing stock over 30 years of age (pre-1970) as shown in the 2000 Census Summary File 3, Table DP-4	<b>Age of Housing Stock</b>	%
Enter the percentage of households that are overcrowded as shown in the 2000 Census Summary File 3, Table DP-4	<b>Overcrowding</b>	%

***Be sure to attach the Housing Stock and Overcrowding Census tables to this application. Also, show the calculations on each table.***

- 3. Supplemental Information.** This section is used to provide information being rebutted and/or not captured in the 2000 Census in regards to the community's worsened age/condition of housing and/or worsened overcrowding needs. Provide all information that is requested.

*Check if providing supplemental information for:*

\_\_\_\_\_ Worsened Age/Condition of Housing      \_\_\_\_\_ Worsened Housing Overcrowding

**Describe the worsened Housing Element conditions and/or worsened overcrowding issue that is not reflected in the 2000 Census data:**

**How is this issue specific to the community?:**

**List:**

- third-party documentation (must be less than 5 years old) that is being submitted to support the issue, and
- the date of the documentation submitted, and
- the page numbers, in this application, where it can be found.

Description of Documentation:	Date of Doc.	Page #
1.		
2.		
3.		
4.		

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### C. TARGETED INCOME GROUP (TIG) BENEFIT

1. Check the appropriate box under a. or b. below.

- a. Is this a single-family program that will be **income restricted** and benefit **100% TIG**?

\_\_\_\_ Yes. Skip to next page.

\_\_\_\_ No. Complete question #2.

**Note:** All single-family rehabilitation programs must be income restricted and benefit 100% TIG.

**OR**

2. How will **TIG benefit** be established for the proposed activity?

\_\_\_\_ Income Restriction

\_\_\_\_ Income Survey. Complete chart below.

- a. If TIG benefit is determined by an income survey, complete the following survey information:

Survey Date:	
Total # of anticipated beneficiaries:	
Households or persons?	
How many were surveyed?	
<b>Total number of responses:</b>	
<i>Number of TIG responses:</i>	
<i>Number of Non-TIG responses:</i>	

- b. Based on the survey results, the percentage of **TIG households** that will benefit from this proposed activity is:

\_\_\_\_%

- c. **Attach a copy of the survey form, a description of the survey methodology that was used, and a summary of the results.**

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### D. STATE OBJECTIVES (Maximum of 50 points for all activities in the application)

1. Does the activity qualify for one (or more) of the State Objectives listed below?  
If so, check those State Objectives that the applicant is committing to fulfill.

**Important Notice:** Failure to comply with any State Objective requirements may result in the applicant having to return CDBG funds.

\_\_\_\_\_ **Energy Efficiency Proposals:** Up to 50 points will be awarded for activities that commit to using the established minimum level of green building standards. At a minimum, the applicant must commit to doing the following (where applicable to the program/project):

(Note: Applicants that commit to fulfilling the Energy Efficiency State Objective will be required to maintain evidence that all required energy efficiency criteria were met. Such evidence may include purchase order information from contractors, maintaining detailed work write-ups that include all criteria, pictures, inspections, etc.)

<b>Site:</b>	
	Use plant and tree species that require low water use in sufficient quantities.
	Install irrigation system using only low-flow drip, bubblers, or low-flow sprinklers.
<b>Materials and Resources:</b>	
	Use engineered lumber - <ul style="list-style-type: none"> <li>a. Beams and Headers</li> <li>b. Wood I-Joists or web trusses for floors and ceilings</li> </ul>
	Use Oriented Strand Board (OSB) for floor, wall, and roof sheathing.
	Provide effective air sealing – <ul style="list-style-type: none"> <li>a. Seal sole plates.</li> <li>b. Seal exterior penetrations at plumbing, electrical, and other penetrations.</li> <li>c. Seal top plate penetrations at plumbing, electrical, cable, and other penetrations.</li> <li>d. Weatherstrip doors and attic access openings.</li> <li>e. Seal penetrations in interior equipment closets and rooms.</li> <li>f. Seal around bathtub drain penetrations in raised floors.</li> </ul>
	Install and flash windows in compliance with window installation protocols.
	Exterior Doors – <ul style="list-style-type: none"> <li>a. Insulated or solid core.</li> </ul>

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	<ul style="list-style-type: none"> <li>b. Flush, paint or stain grade shall be metal clad or have hardwood faces.</li> <li>c. Factory primed on six sides with a one year warranty.</li> </ul>
	<p>Select durable non-combustible roofing materials which carry a three-year contractor installation guarantee –</p> <ul style="list-style-type: none"> <li>a. 20-year manufacturer's warranty; or</li> <li>b. 30-year manufacturer's warranty.</li> </ul>
<b>Energy Efficiency:</b>	
	Install ENERGY STAR® Ceiling Fans in living areas and all bedrooms; install a whole house fan with insulated louvers; or install an economizer.
	Install ENERGY STAR® Appliances (where applicable)
	Install gas storage water heater with an Energy Factor (EF) of 0.62 or greater and a capacity of at least 30 gallons for one- and two-bedroom units and 40 gallons for three-bedroom units or larger.
<b>Water Efficiency:</b>	
	<p>Use water-saving fixtures or flow restrictors.</p> <ul style="list-style-type: none"> <li>a. Kitchen and Service Areas &lt; 2 gallons per minute (gpm).</li> <li>b. Bathroom Sinks &lt; or = 1.5 gallons per minute (gpm).</li> <li>c. Showers and Bathtubs &lt; or = 2.5 gallons per minute (gpm).</li> </ul>
<b>Indoor Environmental Quality:</b>	
	<p>Use Low-VOC paint and stain.</p> <ul style="list-style-type: none"> <li>a. Flat interior wall/ceiling paints &amp; stains &lt; 50gpl VOCs.</li> <li>b. Non-flat wall/ceiling paints &amp; stains &lt; 150gpl VOCs</li> </ul>
	<p>Provide window coverings –</p> <ul style="list-style-type: none"> <li>a. Drapes or blinds may be fire retardant.</li> </ul>
	<p>Floor coverings –</p> <ul style="list-style-type: none"> <li>a. Light and medium traffic areas shall have vinyl or linoleum at least 3/32" in thickness.</li> <li>b. Heavy traffic areas shall have vinyl or linoleum at least 1/8" in thickness.</li> <li>c. Carpet shall comply with U.S. Department of Housing and Urban Development/Federal Housing Administration UM 44C, or alternatively, cork, bamboo, linoleum, or hardwood floors shall be provided in all other floor areas.</li> </ul>

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- \_\_\_\_\_ **Native American partnership Proposals:** Up to 50 points will be awarded for activities that propose a partnership with eligible non-federally recognized tribes/areas in which, at a minimum, 51% of the beneficiaries are Native American tribal members. (The activity description must clearly indicate how this State Objective will be implemented.)
- \_\_\_\_\_ **Farmworker Housing/Health Services:** Up to 25 points will be awarded to proposals which facilitate the development and/or operation of migrant or permanent farmworker housing or proposals which facilitate the provision of health services in combination with farmworker housing. To receive these points, a minimum of 90% of the beneficiaries of the proposed activity must be farmworkers. (The activity description must clearly indicate how this State Objective will be implemented.)

### Capacity Building (*check one*):

- \_\_\_\_\_ Up to 25 points will be awarded to jurisdictions that applied for CDBG funding but fell below the funding cut-off in the 2006 General Allocation competition. The activity applied for during this funding cycle does not have to be the same as the 2006 proposed activity.
- \_\_\_\_\_ Up to 35 points will be awarded to applicants who applied at least two times in the last four years (2004 to 2007) in the General Allocation and who were not funded either time.

Identify the two years that a CDBG General Allocation application was submitted and not funded:

Years: \_\_\_\_\_ **and** \_\_\_\_\_



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### E. PROGRAM READINESS – Housing Rehabilitation

See Instructions for details of how to complete and provide proper documentation.

<b>PROGRAM OPERATOR</b>	<b>INDICATE “Yes” OR “No”</b>	<b>DOCUMENTATION Submitted</b>	<b>PAGE NO.</b>
In-House Administration			
Subrecipient Agreement			
Consultant Hired			

<b>ENVIRONMENTAL</b>	<b>INDICATE “Yes” OR “No”</b>	<b>DOCUMENTATION Submitted</b>	<b>PAGE NO.</b>
Complete Environmental Review Record (ERR)			
Ready to Publish Public Notice			
Environmental Finding Form			
Form 58.6			

<b>SPECIAL CONDITIONS</b>	<b>INDICATE “Yes” OR “No”</b>	<b>DOCUMENTATION Submitted</b>	<b>PAGE NO.</b>
Program Guidelines			
Temporary Relocation Plan			
PI Reuse Plan Approved			

<b>READINESS</b>	<b>INDICATE “Yes” OR “No”</b>	<b>DOCUMENTATION Submitted</b>	<b>PAGE NO.</b>
Waiting List – Interested Participants			
List of Approved Applicants			
List of Eligible Bidders			
Continuation of Existing Program			
Multi -Family Project is in Construction			